

FORM PTO-1390 (Modified)  
(REV. 11-2000)

U.S. DEPARTMENT OF COMMERCE PATENT AND TRADEMARK OFFICE

## TRANSMITTAL LETTER TO THE UNITED STATES

DESIGNATED/ELECTED OFFICE (DO/EO/US)

CONCERNING A FILING UNDER 35 U.S.C. 371

ATTORNEY'S DOCKET NUMBER

510.1121

U.S. APPLICATION NO. (IF KNOWN, SEE 37 CFR

10/525254

INTERNATIONAL APPLICATION NO.

PCT/EP2003/009173

INTERNATIONAL FILING DATE

19 August 2003

PRIORITY DATE CLAIMED

23 August 2002

TITLE OF INVENTION

FILTER BODY FOR A SOOT FILTER

APPLICANT(S) FOR DO/EO/US

HOLM et al.

Applicant herewith submits to the United States Designated/Elected Office (DO/EO/US) the following items and other information:

1. ☒ This is a **FIRST** submission of items concerning a filing under 35 U.S.C. 371.
2. ☐ This is a **SECOND** or **SUBSEQUENT** submission of items concerning a filing under 35 U.S.C. 371.
3. ☒ This is an express request to begin national examination procedures (35 U.S.C. 371(f)). The submission must include items (5), (6), (9) and (24) indicated below.
4. ☒ The US has been elected by the expiration of 19 months from the priority date (Article 31).
5. ☒ A copy of the International Application as filed (35 U.S.C. 371 (c) (2))
  - a. ☒ is attached hereto (required only if not communicated by the International Bureau).
  - b. ☒ has been communicated by the International Bureau.
  - c. ☐ is not required, as the application was filed in the United States Receiving Office (RO/US).
6. ☒ An English language translation of the International Application as filed (35 U.S.C. 371(c)(2)).
  - a. ☒ is attached hereto.
  - b. ☐ has been previously submitted under 35 U.S.C. 154(d)(4).
7. ☒ Amendments to the claims of the International Application under PCT Article 19 (35 U.S.C. 371 (c)(3))
  - a. ☐ are attached hereto (required only if not communicated by the International Bureau).
  - b. ☐ have been communicated by the International Bureau.
  - c. ☐ have not been made; however, the time limit for making such amendments has NOT expired.
  - d. ☒ have not been made and will not be made.
8. ☐ An English language translation of the amendments to the claims under PCT Article 19 (35 U.S.C. 371(c)(3)).
9. ☒ An oath or declaration of the inventor(s) (35 U.S.C. 371 (c)(4)).
10. ☐ An English language translation of the annexes to the International Preliminary Examination Report under PCT Article 36 (35 U.S.C. 371 (c)(5)).
11. ☐ A copy of the International Preliminary Examination Report (PCT/IPEA/409).
12. ☒ A copy of the International Search Report (PCT/ISA/210).

## Items 13 to 20 below concern document(s) or information included:

13. ☒ An Information Disclosure Statement under 37 CFR 1.97 and 1.98.
14. ☐ An assignment document for recording. A separate cover sheet in compliance with 37 CFR 3.28 and 3.31 is included.
15. ☒ A **FIRST** preliminary amendment.
16. ☐ A **SECOND** or **SUBSEQUENT** preliminary amendment.
17. ☐ A substitute specification.
18. ☐ A change of power of attorney and/or address letter.
19. ☐ A computer-readable form of the sequence listing in accordance with PCT Rule 13ter.2 and 35 U.S.C. 1.821 - 1.825.
20. ☐ A second copy of the published international application under 35 U.S.C. 154(d)(4).
21. ☐ A second copy of the English language translation of the international application under 35 U.S.C. 154(d)(4).
22. ☒ Express Mail Label No. EV 382793789 US
23. ☒ Other items or information:

Letter re: Priority  
Application Data Sheet

U.S. APPLICATION NO. (IF KNOWN, SEE 37 CFR 1.52) <b>10/525254</b>		INTERNATIONAL APPLICATION NO. <b>PCT/EP2003/009173</b>		ATTORNEY'S DOCKET NUMBER <b>510.1121</b>	
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24. The following fees are submitted: <b>BASIC NATIONAL FEE (37 CFR 1.492 (a) (1) - (5)) :</b> <input type="checkbox"/> Neither international preliminary examination fee (37 CFR 1.482) nor international search fee (37 CFR 1.445(a)(2)) paid to USPTO and International Search Report not prepared by the EPO or JPO ..... <b>\$1080.00</b> <input type="checkbox"/> International preliminary examination fee (37 CFR 1.482) not paid to USPTO but International Search Report prepared by the EPO or JPO ..... <b>\$920.00</b> <input type="checkbox"/> International preliminary examination fee (37 CFR 1.482) not paid to USPTO but international search fee (37 CFR 1.445(a)(2)) paid to USPTO ..... <b>\$770.00</b> <input type="checkbox"/> International preliminary examination fee (37 CFR 1.482) paid to USPTO but all claims did not satisfy provisions of PCT Article 33(1)-(4) ..... <b>\$730.00</b> <input type="checkbox"/> International preliminary examination fee (37 CFR 1.482) paid to USPTO and all claims satisfied provisions of PCT Article 33(1)-(4) ..... <b>\$100.00</b> <p style="text-align: center;"><b>ENTER APPROPRIATE BASIC FEE AMOUNT =</b></p>				<b>CALCULATIONS PTO USE ONLY</b>  <i>Basic Fee 300.00</i> <i>Search Fee 500.00</i> <i>Exam Fee 200.00</i> <hr style="width: 50%; margin: 5px auto;"/> <i>\$1000.00</i>																																																																							
Surcharge of <b>\$130.00</b> for furnishing the oath or declaration later than <input type="checkbox"/> 20 <input type="checkbox"/> 30 months from the earliest claimed priority date (37 CFR 1.492 (e)).				<b>\$1,000.00</b>																																																																							
<table border="1" style="width:100%; border-collapse: collapse;"> <thead> <tr> <th style="width:15%;">CLAIMS</th> <th style="width:20%;">NUMBER FILED</th> <th style="width:20%;">NUMBER EXTRA</th> <th style="width:10%;">RATE</th> <th style="width:15%;"></th> <th style="width:10%;"></th> </tr> </thead> <tbody> <tr> <td>Total claims</td> <td>16 - 20 =</td> <td>0</td> <td>x \$50.00</td> <td></td> <td style="text-align: center;"><b>\$0.00</b></td> </tr> <tr> <td>Independent claims</td> <td>3 - 3 =</td> <td>0</td> <td>x \$200.00</td> <td></td> <td style="text-align: center;"><b>\$0.00</b></td> </tr> <tr> <td colspan="5">Multiple Dependent Claims (check if applicable). <input type="checkbox"/></td> <td style="text-align: center;"><b>\$0.00</b></td> </tr> <tr> <td colspan="5" style="text-align: right;"><b>TOTAL OF ABOVE CALCULATIONS =</b></td> <td style="text-align: center;"><b>\$1,000.00</b></td> </tr> <tr> <td colspan="5"> <input type="checkbox"/> Applicant claims small entity status. See 37 CFR 1.27. The fees indicated above are reduced by 1/2.                         </td> <td style="text-align: center;"><b>\$0.00</b></td> </tr> <tr> <td colspan="5" style="text-align: right;"><b>SUBTOTAL =</b></td> <td style="text-align: center;"><b>\$1,000.00</b></td> </tr> <tr> <td colspan="4">                 Processing fee of <b>\$130.00</b> for furnishing the English translation later than <input type="checkbox"/> 20 <input type="checkbox"/> 30 months from the earliest claimed priority date (37 CFR 1.492 (f)).             </td> <td colspan="2" style="text-align: center;"> <b>\$0.00</b> </td> </tr> <tr> <td colspan="5" style="text-align: right;"><b>TOTAL NATIONAL FEE =</b></td> <td style="text-align: center;"><b>\$1,000.00</b></td> </tr> <tr> <td colspan="4">                 Fee for recording the enclosed assignment (37 CFR 1.21(h)). The assignment must be accompanied by an appropriate cover sheet (37 CFR 3.28, 3.31) (check if applicable). <input type="checkbox"/> </td> <td colspan="2" style="text-align: center;"> <b>\$0.00</b> </td> </tr> <tr> <td colspan="5" style="text-align: right;"><b>TOTAL FEES ENCLOSED =</b></td> <td style="text-align: center;"><b>\$1,000.00</b></td> </tr> <tr> <td colspan="5"></td> <td style="text-align: center;">                 Amount to be refunded \$                  charged \$             </td> </tr> </tbody></table>				CLAIMS	NUMBER FILED	NUMBER EXTRA	RATE			Total claims	16 - 20 =	0	x \$50.00		<b>\$0.00</b>	Independent claims	3 - 3 =	0	x \$200.00		<b>\$0.00</b>	Multiple Dependent Claims (check if applicable). <input type="checkbox"/>					<b>\$0.00</b>	<b>TOTAL OF ABOVE CALCULATIONS =</b>					<b>\$1,000.00</b>	<input type="checkbox"/> Applicant claims small entity status. See 37 CFR 1.27. The fees indicated above are reduced by 1/2.					<b>\$0.00</b>	<b>SUBTOTAL =</b>					<b>\$1,000.00</b>	Processing fee of <b>\$130.00</b> for furnishing the English translation later than <input type="checkbox"/> 20 <input type="checkbox"/> 30 months from the earliest claimed priority date (37 CFR 1.492 (f)).				<b>\$0.00</b>		<b>TOTAL NATIONAL FEE =</b>					<b>\$1,000.00</b>	Fee for recording the enclosed assignment (37 CFR 1.21(h)). The assignment must be accompanied by an appropriate cover sheet (37 CFR 3.28, 3.31) (check if applicable). <input type="checkbox"/>				<b>\$0.00</b>		<b>TOTAL FEES ENCLOSED =</b>					<b>\$1,000.00</b>						Amount to be refunded \$ charged \$
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a. <input checked="" type="checkbox"/> A check in the amount of <u><b>\$1,000.00</b></u> to cover the above fees is enclosed. b. <input type="checkbox"/> Please charge my Deposit Account No. _____ in the amount of _____ to cover the above fees. c. <input checked="" type="checkbox"/> The Director is hereby authorized to charge any additional fees which may be required, or credit any overpayment to Deposit Account No. <u><b>50-0552</b></u> d. <input type="checkbox"/> Fees are to be charged to a credit card. <b>WARNING:</b> Information on this form may become public. <b>Credit card information should not be included on this form.</b> Provide credit card information and authorization on PTO-2038.																																																																											

**NOTE:** Where an appropriate time limit under 37 CFR 1.494 or 1.495 has not been met, a petition to revive (37 CFR 1.137(a) or (b)) must be filed and granted to restore the application to pending status.

SEND ALL CORRESPONDENCE TO:

Davidson, Davidson & Kappel, LLC William C. Gehris, Esq. 485 Seventh Avenue, 14th Floor New York, NY 10018 USA	<div style="text-align: center;">   <hr style="border: 0; border-top: 1px solid black;"/>                 SIGNATURE                   William C. Gehris  <hr style="border: 0; border-top: 1px solid black;"/>                 NAME                   38,156  <hr style="border: 0; border-top: 1px solid black;"/>                 REGISTRATION NUMBER                   February 22, 2005  <hr style="border: 0; border-top: 1px solid black;"/>                 DATE             </div>
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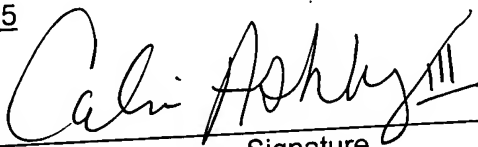
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DT01 Rec'd PCT/PTC 22 FEB 2005

## Certificate of Express Mailing under 37 CFR 1.10

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Calvin Ashby III

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Re.: Docket No.: 510.1121  
Applicant(s): Claus HOLM, et al.  
Serial No.: To be assigned  
Invention: FILTER BODY FOR A SOOT FILTER  
Filing Date: Herewith as national phase of International Patent Application No. PCT/EP2003/009173,  
filed August 19, 2003

- Transmittal Letter to the U.S. Designated/Elected Office Concerning a Filing Under 35 U.S.C 371 (2 pages);
- Copy of Int. Patent Application PCT/EP2003/009173 w/ Int. Search Report (15 pages);
- Translation of Int. Patent Application PCT/EP2003/009173 (8 pages);
- One (1) Sheet of Formal Drawings;
- Preliminary Amendment (7 pages);
- Unexecuted Declaration and PoA (2 pages);
- Application Data Sheet (2 pages);
- Letter re: Priority (1 page);
- Information Disclosure Statement with PTO-1449 (3 pages) and copies of cited references;
- Check for \$1000.00;
- Return Receipt Postcard

This collection of information is required by 37 CFR 1.10. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 1.8 minutes to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

If you need assistance in completing the form, call 1-800-PTO-9199 and select option 2.